

DATE E-FILED: August 8, 2007

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Laurent EL GHAOUI et al.

Appl. No. 10/568,094

Filed: August 13, 2004

For: **APPARATUS AND METHOD
FOR CLASSIFYING MULTI-
DIMENSIONAL
BIOLOGICAL DATA**

Art Unit: 1631

Confirmation No.: 8148

Examiner: Not Yet Assigned

Atty. Docket: 03916.0043.PCUS01

Information Disclosure Statement

Mail Stop AMENDMENT
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Listed on accompanying Form PTO-1449 are documents that may be considered material to the examination of this application, in compliance with the duty of disclosure requirements of 37 C.F.R. §§ 1.56, 1.97 and 1.98.

Where the publication date of a listed document does not provide a month of publication, the year of publication of the listed document is sufficiently earlier than the effective U.S. filing date and any foreign priority date so that the month of publication is not in issue. Applicants have listed publication dates on the attached PTO-1449 based on information presently available to the undersigned. However, the listed publication dates should not be construed as an admission that the information was actually published on the date indicated.

Applicants reserve the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered.

This statement should not be construed as a representation that a search has been made, or that information more material to the examination of the present patent application does not exist. The Examiner is specifically requested not to rely solely on the material submitted herewith. It is further understood that the Examiner will consider information that had been cited by or submitted to the U.S. Patent and Trademark Office in a prior application relied on under 35 U.S.C. § 120. 1138 OG 37, 38 (May 19, 1992).

Applicants have checked the appropriate boxes below.

- 1. This Information Disclosure Statement is being filed;
 - ☐ a. Within three months of the U.S. filing date of a national application other than a continued prosecution application under §1.53(d);
 - ☐ b. Within three months of the date of entry of the national stage as set forth in §1.491 in an international application;
 - c. Before the mailing date of a first Office Action on the merits;
 - ☐ d. Before the mailing of a first Office Action after filing of a request for continued examination under § 1.115.

No statement under 37 C.F.R. § 1.97(e) or fee is required.

or;

- ☐ 2. This Information Disclosure Statement is being filed after the period specified in paragraph 1(a)-1(d) above, but before the mailing date of a Final Rejection or Notice of Allowance, or action that otherwise closes prosecution in the application, and
 - ☐ a. I hereby state that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1), or

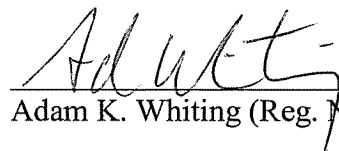
- ☐ b. I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to my knowledge after making reasonable inquiry, no item of information contained in this Information Disclosure Statement was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2), or
- ☐ c. The U.S. Patent and Trademark Office is hereby authorized to charge our Deposit Account No. 08-3038 the amount of \$_____ in payment of the fee under 37 C.F.R. § 1.17(p), referencing docket number _____.
- ☐ 3. This Information Disclosure Statement is being filed more than three months after the U.S. filing date and after the mailing date of a Final Rejection or Notice of Allowance, but on or before payment of the Issue Fee. Attached is our Check No. _____ in the amount of \$ _____ in payment of the fee under 37 C.F.R. § 1.17(i), and
- ☐ a. I hereby state that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1), or
- ☐ b. I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to my knowledge after making reasonable inquiry, no item of information contained in this Information Disclosure Statement was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2).

- ☐ 4. Relevance of the non-English language document(s) is discussed in the present specification.
- ☐ 5. The document(s) was/were cited in a corresponding foreign application. An English language version of the foreign search report is attached for the Examiner's information.
- ☐ 6. A concise explanation of the relevance of the non-English language document(s) appears below:
- ☐ 7. The Examiner's attention is directed to co-pending U.S. Patent Application No. _____, filed _____, which is directed to related technical subject matter. The identification of this U.S. Patent Application is not to be construed as a waiver of secrecy as to that application now or upon issuance of the present application as a patent. The Examiner is respectfully requested to consider the cited application and the art cited therein during examination.
- ☐ 8. Copies of the documents were cited by or submitted to the Office in Application No. _____, filed _____, which is relied upon for an earlier filing date under 35 U.S.C. § 120. Thus, copies of these documents are not attached. 37 C.F.R. § 1.98(d).

It is respectfully requested that the Examiner initial and return a copy of the enclosed PTO-1449, and to indicate in the official file wrapper of this patent application that the documents have been considered.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 08-3038 referencing docket number 03916.0043.PCUS01.

Respectfully submitted,


Adam K. Whiting (Reg. No. 44,400)

Date: August 8, 2007

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Falls Church, VA 22042
Ph. (650) 798-3524

LIST OF REFERENCES CITED BY APPLICANT <i>(Use several sheets if necessary)</i> PTO FORM 1449	ATTY. DOCKET NO.	APPLICATION NO.
	03916.0043.PCUS01	10/568,094
	APPLICANT	
	Laurent EL GHAOUI	
	FILING DATE	GROUP
	August 13, 2004	1631

U.S. PATENT DOCUMENTS								
*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME\	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE	
	1.	5,390,154	07-1999	Thalhammer-Reyero				
	2.	6,291,182	09-2001	Schork et al.				
	3.	2003/0093393	05-2003	Mangasarian et al.				
	4.	2003/0180808	09-2003	Natsoulis				
	5.	2004/0259764	12-2004	Tugendreich et al.				
	6.	2005/0060102	03-2005	O'Reilly et al.				
FOREIGN PATENT DOCUMENTS								
*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
	7.	WO 96/23078	08/01/1996	PCT				
	8.	EP 0 935 210 A2	08/02/1999	EP				
	9.	WO 00/50889	08/31/2000	PCT				
	10.	WO 00/65421	11/02/2000	PCT				
	11.	WO 99/58720	11/18/1999	PCT				
OTHER REFERENCES								
<i>(Including Author, Title, Date, Pertinent Pages, Etc.)</i>								
	12.	SORACE J <i>et al.</i> , "Functional Bioinformatics: The Cellular Response Database", <i>Frontiers in Bioscience</i> , Vol. <u>2</u> , (1997), pp. 31-36						
	13.	WEINSTEIN J <i>et al.</i> , "An Information-Intensive Approach to the Molecular Pharmacology of Cancer", <i>Science</i> , Vol. <u>275</u> , (1997), pp. 343-349						
	14.	Rifkin and Klautau, "In Defense of One-Vs-All Classification," <i>Journal of Machine Learning Research</i> 5: 101-141 (2004).						
	15.	Bredensteiner et al., "Multicategory Classification by Support Vector Machines," <i>Computational Optimization and Applications</i> , 12: 53-79 (1999)						
	16.	El Ghaoui, <i>et al.</i> , "Robust classifiers with interval data," <i>Report # UCB/CSD-03-1279, Computer Science Division (EECS)</i> , University of California, Berkeley, California (2003)						
	17.	Brown <i>et al.</i> , "Knowledge-based analysis of microarray gene expression data by using support vector machines," <i>Proc Natl Acad Sci U S A</i> 97 : 262-267 (2000)						

EXAMINER:

DATE CONSIDERED:

EXAMINER: Initial if citation considered, whether or not the citation conforms with MPEP 609. Draw a line through the citation if not in conformance and not considered. Include a copy of this form with next communication to applicant.

*If an asterisk is placed beside the reference number, a copy is not provided because the reference was previously cited by or submitted to the PTO in a prior application that is identical in the statement and relied upon for an earlier filing date under 35 U.S.C. §120. 37 C.F.R. §1.98 (d).

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U.S. PATENT DOCUMENTS							
*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME\	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	18.	4,562,157	12-1985	Lowe et al.			
	19.	5,143,854	09-1992	Pirrung et al.			
	20.	5,474,796	12-1995	Brennan			
	21.	5,556,961	09-1996	Foote et al.			
	22.	5,569,588	10-1996	Ashby et al.			
	23.	5,807,522	09-1998	Brown et al.			
	24.	5,968,740	10-1999	Fodor et al.			
	25.	2002/0042681 A1	04-2000	Califano et al.			
	26.	2002/0095260 A1	07-2000	Huyn			
	27.	6,134,344	10-2000	Burges			
	28.	6,128,608	10-2000	Barnhill			
	29.	6,157,921	12-2000	Barnhill			
	30.	2002/0012921 A1	01-2002	Stanton Jr.			
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*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO
	31.	WO 99/42813	08-1999	PCT			
	32.	WO 05/017807	02-2005	PCT			
OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.)							
	33.	Golub et al., "Molecular Classification of Cancer: Class Discovery and Class Prediction by Gene Expression Monitoring," Science 286: 531-37 (Oct. 1999).					
	34.	Natsoulis et al., "Classification of a large microarray data set: Algorithm comparison and analysis of drug signatures," Genome Research 15(5):724-36 (May 2005).					
	35.	Wolfiger et al., "Assessing Gene Significance from cDNA Microarray Expression Data via Mixed Models," J. Computational Biol. 8(6); 625-37 (2001).					

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U.S. PATENT DOCUMENTS							
*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME\	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	36.	6,427,141	07-2002	Barnhill			
	37.	2002/0119462 A1	08-2002	Mendrick et al.			
	38.	2002/0111742 A1	08-2002	Rocke et al.			
	39.	6,453,241	09-2002	Bassett Jr. et al.			
	40.	6,505,125	01-2003	Ho			
	41.	2003/0172043 A1	09-2003	Guyon <i>et al.</i> ,			
	42.	6,635,423	10-2003	Dooley et al.			
	43.	2003/0211486 A1	11-2003	Frudakis <i>et al.</i> ,			
	44.	6,658,395	12-2003	Barnhill			
	45.	6,714,925	03-2004	Barnhill et al.			
	46.	2004/0128080 A1	07-2004	Tolley			
	47.	6,760,715	07-2004	Barnhill et al.			
	48.	6,789,069	09-2004	Barnhill et al.			
	49.	2004/0234995 A1	11-2004	Musick et al.			
	50.	6,816,867	11-2004	Jevons et al.			
	51.	2005/0027460 A1	02-2005	Kelkar et al.			
	52.	2005/0130187 A1	07-2005	Shin et al.			
	53.	7,054,755	05-2006	O'Reilly et al.			
	54.	6,228,589	05-2001	Brenner			
	55.	2002/0012905 A1	01-2002	Snodgrass			
	56.	6,372,431 B1	04-2002	Cunningham et al			
	57.	2002/0192671 A1	12-2002	Castle et al			
	58.	6,692,916 B2	02-2004	Bevilacqua et al.			
	59.						

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